

Message Text

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SUBJECT: US-USSR S&T AGREEMENT: SCIENCE POLICY (01.09)
DRAFT JOINT REPORT FOR SIXTH JCM

1. EMBASSY REQUESTED TO TRANSMIT TO SKLYAROV WITH COPY TO
AYKAZYAN A REDRAFT WHICH INCLUDES MINOR REVISIONS OF
SECTIONS I, II AND III OF US APRIL DRAFT JOINT REPORT AND
SUGGESTED LANGUAGE FOR SECTIONS IV AND V.

2. REPORT TO THE SIXTH MEETING OF THE US-USSR COMMISSION
ON SCIENTIFIC AND TECHNICAL COOPERATION BY THE JOINT
WORKING GROUP ON SCIENCE POLICY.

I. ESTABLISHMENT OF THE WORKING GROUP: AT ITS FIRST MEETING
IN WASHINGTON IN MARCH 1973, THE JOINT COMMISSION APPROVED
THE ESTABLISHMENT OF A COOPERATIVE PROGRAM IN THE AREA OF
SCIENCE POLICY UNDER THE AGREEMENT ON SCIENTIFIC AND
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PAGE 02 STATE 162446

TECHNICAL COOPERATION. AT ITS SECOND MEETING IN MOSCOW IN
NOVEMBER 1973 FOUR TOPICS FOR COOPERATION IN SCIENCE POLICY
WERE APPROVED BY THE JOINT COMMISSION.

II. LIST OF PROJECTS: DURING THE FIRST SESSION OF THE
JOINT WORKING GROUP HELD IN WASHINGTON IN NOVEMBER 1973,

BASIC DIRECTIONS AND PROCEDURES FOR THE SCIENCE POLICY
WORKING GROUP WERE AGREED UPON. BASED ON THESE DISCUSSIONS
A COOPERATIVE PROGRAM WAS FORMULATED WHICH IS OUTLINED IN

THE SEPTEMBER 1974 PROTOCOL OF THE JOINT WORKING GROUP.

FOUR SUBGROUPS IMPLEMENT THIS PROGRAM:

1. SUBGROUP ON PLANNING AND MANAGEMENT OF RESEARCH AND DEVELOPMENT;
2. SUBGROUP ON FINANCING OF RESEARCH AND DEVELOPMENT;
3. SUBGROUP ON TRAINING AND UTILIZATION OF SCIENTIFIC AND ENGINEERING-TECHNICAL PERSONNEL, AND
4. SUBGROUP ON SYSTEMS FOR STIMULATING THE DEVELOPMENT OF FUNDAMENTAL RESEARCH.

III. ACHIEVEMENTS:

PLANNING AND MANAGEMENT OF SCIENTIFIC RESEARCH AND DEVELOPMENT: THE WORK PROGRAM OF THIS SUBGROUP CONSISTED OF (1) EXCHANGING WRITTEN QUESTIONS AND ANSWERS ON THE MAJOR CHARACTERISTICS AND SYSTEMS OF PLANNING, ORGANIZING, FUNDING, DECISION-MAKING, AND INNOVATION IN THE RESPECTIVE PLANNED AND MARKET ECONOMICS, (2) CONCRETE CASE STUDIES OF INNOVATION AND APPLIED RESEARCH FROM THE PLANNING STAGE THROUGH THE FINAL OUTPUT STAGE, (3) ANALYTIC PAPERS ON THE INNOVATION CYCLE AND RELATED BARRIERS AND INCENTIVES, AND (4) WORKING CONFERENCES AND FIELD VISITS TO RESEARCH CENTERS AND PRODUCTION ENTERPRISES. THIS WORK WAS CONCLUDED TO THE SATISFACTION OF BOTH SIDES IN 1977. BASED ON THE WORK OF THESE

PAGE 03 STATE 162446

FIRST FIVE YEARS THE US SIDE IS PREPARING A COMPILATION AND ANALYSIS OF SIMILARITIES AND DIFFERENCES OF R&D PLANNING AND MANAGEMENT IN THE US AND THE USSR FOR PUBLICATION AND DIFFUSION TO THE US INDUSTRIAL AND SCIENCE POLICY COMMUNITIES IN LATE 1978. SINCE THE FIFTH MEETING OF THE JOINT COMMISSION, THE SUBGROUP HAS MET IN MOSCOW TO DISCUSS AND AGREE IN PRINCIPLE ON PREFERRED MODES OF COOPERATION IN THE SECOND ROUND. THERE IS AGREEMENT ON A BASIC SHIFT IN PROCEDURE, BASED UPON (A) THE EXISTENCE OF AN EXPANDING BASE OF MUTUAL UNDERSTANDING OF THE MAIN STRUCTURAL AND DECISION MAKING CHARACTERISTICS OF R&D IN THE RESPECTIVE NATIONAL ECONOMIES DERIVED FROM THE FIRST ROUND OF COOPERATION AND

(B) THE ATTAINMENT OF MUTUAL CONFIDENCE AND UNDERSTANDING BETWEEN THE TWO SIDES. WITH A STRONG MUTUAL INTEREST IN CONTINUED COLLABORATION, THE SUBGROUP PROPOSES TO REDUCE THE PREVIOUS EMPHASIS ON WRITTEN STUDIES AND ANALYSES IN FAVOR OF EXCHANGES OF EXPERTS FOR FLEXIBLE PERIODS TO EXAMINE CENTRAL INSTITUTIONS AND INDUSTRIES INVOLVED IN THE PLANNING AND MANAGEMENT OF R&D AND ITS COUPLING TO PRODUCTION, MARKETS, AND INNOVATION. EACH SIDE IS IDENTIFYING MAJOR INSTITUTIONS IN THE PUBLIC AND PRIVATE SECTORS FOR CLOSE-RANGE STUDY AND COMPARISON OVER THE NEXT TWO YEARS. IN THE SOVIET CASE, ARRANGEMENTS ARE IN PROGRESS

TO PROVIDE ACCESS TO HEAD INSTITUTES OF MAJOR MINISTRIES AND TO PRODUCTION ASSOCIATIONS. ON THE AMERICAN SIDE, ARRANGEMENTS ARE IN PROGRESS TO PROVIDE EQUIVALENT ACCESS TO INDUSTRY ASSOCIATIONS AND PRIVATE ENTERPRISES WITH OUTSTANDING PRACTICES IN THE MANAGEMENT OF R&D AND SUCCESSFUL TRANSFERS OF RESULTS INTO COMMERCIAL APPLICATION. THE SUBGROUP CONSIDERS THE PROSPECTS FOR EFFECTIVE COOPERATION IN THE NEAR TERM TO BE VERY PROMISING.

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PAGE 04 STATE 162446

FINANCING OF RESEARCH AND DEVELOPMENT: DURING THE PERIOD MARCH 8-10, 1978, THE FINANCE SUBGROUP MET IN WASHINGTON TO CONCLUDE ITS WORK AS A SEPARATE SUBGROUP. AN EFFORT WAS MADE TO CLARIFY REMAINING QUESTIONS AND ANSWERS EXCHANGED DURING THE PAST YEAR. ALTHOUGH THE RESPONSES INDICATED THAT NOT ALL QUESTIONS COULD BE FULLY ANSWERED IN A COMPARABLE FORMAT, DISCUSSIONS WERE CONDUCTED ON VARIOUS RELATED TOPICS SUCH AS THE RELIABILITY AND UTILITY OF DISTRIBUTION OF OUTLAYS INTO BASIC AND APPLIED RESEARCH AND DEVELOPMENT. IT IS CONTEMPLATED THAT THE INFORMATION CONTAINED IN THE TWO DRAFT REPORTS WILL BE DISSEMINATED TO INTERESTED CONSUMERS.

TRAINING AND UTILIZATION OF SCIENTIFIC AND ENGINEERING-TECHNICAL PERSONNEL: DURING 1977, DR. A. RYABININ OF MOSCOW STATE UNIVERSITY VISITED VARIOUS GOVERNMENT AGENCIES UNIVERSITIES AND INSTITUTES IN THE U.S. WHERE HE WAS PROVIDED MATERIALS AND INFORMATION ON THE TRAINING AND UTILIZATION OF SCIENTIFIC-TECHNICAL MANPOWER IN THE UNITED STATES. IN ADDITION, HE DISCUSSED THE STATUS OF THE DRAFT REPORTS AND RESPONSES TO QUESTIONS BEING PREPARED BY BOTH SIDES. THE SUBGROUP MET IN WASHINGTON SIMULTANEOUSLY WITH THE FINANCE SUBGROUP AND CONTINUED THEIR DISCUSSIONS OF PORTIONS OF THE DRAFT REPORTS AND ANSWERS TO QUESTIONS WHICH HAD BEEN RECEIVED PRIOR TO THE MEETING. DETAILED DISCUSSIONS WERE CONDUCTED AT THE MEETING, ESPECIALLY ON THE STATISTICAL METHODOLOGY USED IN EACH COUNTRY'S DEFINITION OF SCIENTISTS AND ENGINEERS ENGAGED IN RESEARCH AND DEVELOPMENT.

THE TWO SIDES AGREED TO CONCLUDE THE SUBGROUP AS A SEPARATE ENTITY AFTER A MEETING ON UTILIZATION AND MOBILITY OF SCIENTISTS, ENGINEERS AND TECHNICIANS IN MOSCOW IN JUNE 1978 AS CALLED FOR IN THE MAY 1977 PROTOCOL. AT THE MOS-

PAGE 05 STATE 162446

COW MEETING, THE FINAL UNIT OF THE SOVIET REPORT ON WAGES AND REIMBURSEMENT WILL BE PROVIDED.

BOTH SIDES AGREED THAT THE REPORTS AND PERSONAL MEETINGS

HAD RESULTED IN IMPROVED, IF NOT TOTAL, UNDERSTANDING OF THE COMPLEXITIES OF THE TWO SYSTEMS. ALTHOUGH BOTH SUB-GROUPS HAVE TERMINATED THEIR WORK AS SEPARATE ACTIVITIES, THE REORGANIZED SUBGROUPS ON PLANNING, MANAGEMENT AND RESOURCES FOR APPLIED SCIENTIFIC R&D AND ON FUNDAMENTAL RESEARCH SYSTEMS WILL CONTINUE TO EXPLORE VARIOUS ASPECTS OF FINANCE AND MANPOWER AS APPROPRIATE WITHIN THE SCOPE OF THEIR JOINT WORK.

SYSTEMS FOR STIMULATING THE DEVELOPMENT OF FUNDAMENTAL RESEARCH: A FINAL JOINT MEETING OF THIS SUBGROUP WAS HELD IN OCTOBER 1977 IN PRINCETON AND WASHINGTON TO REVIEW AND TO DISCUSS FINAL VERSIONS OF THE PREPARED DOCUMENTS ACCORDING TO THE ORIGINAL PROTOCOL. BOTH SIDES ENDORSED THE REPORTS THAT HAD BEEN PREPARED AND AGREED TO TAKE NECESSARY STEPS FOR THESE REPORTS TO BE PUBLISHED BY THE RESPECTIVE ACADEMIES IN THEIR RESPECTIVE LANGUAGES. BOTH SIDES AGREED TO A JOINT INTRODUCTION.

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